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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	527	Application Number	10/813,521
		Filing Date	March 29, 2004
		First Named Inventor	Thomas K. MELLINA
		Art Unit	3624
		Examiner Name	not yet assigned
		Attorney Docket Number	SSB0003

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm	Kilpatrick Stockton LLP		
Signature			
Printed Name	George T. Marcou		
Date	7/14/05	Reg. No.	33,014

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Serial No. 10/813,521

Art Unit: 3624

Docket No: SSB0003

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Thomas K. MELLINA

Serial No.: 10/813,521

Art Unit: 3624

Filed: March 29, 2004

Examiner: not yet assigned

Title: METHOD AND SYSTEM FOR EFFICIENTLY MATCHING LONG AND  
SHORT POSITIONS IN SECURITIES TRADING AND TRANSACTING A  
SERIES OF OVERNIGHT TRADES FOR BALANCE SHEET NETTING

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R §§ 1.97 AND 1.98**

United States Patent and Trademark Office  
Customer Window, Mail Stop Amendment  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97-1.98 and MPEP § 609, the undersigned representative hereby brings to the attention of the Examiner the references noted on the attached Form PTO/SB/08.

The Examiner is respectfully requested to initial in the space adjacent to the listing on Form PTO/SB/08, and return a copy of the initialed Form PTO/SB/08 with the next communication to Applicant, to confirm that these documents have been considered by the Examiner and made of record in this application. As this application was filed after June 30, 2003, and in accordance with the directive of July 11, 2003 by the Deputy Commissioner for Patent Examination Policy, copies of the cited U.S. Patents are not provided with this filing. Copies of the cited non-patent literature is included herein.

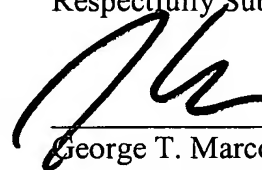
Since this Information Disclosure Statement is being filed before receipt of the first Office Action, no fee is believed due. If any fees are due, the Commissioner is hereby authorized to charge any such fees under 37 C.F.R. §§ 1.16 or 1.17 which may be required during the entire pendency of this application, or to credit any overpayment, to Deposit Account No. 501458.

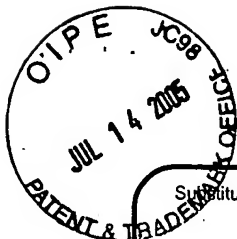
Serial No. 10/813,521  
Art Unit: 3624

Docket No: SSB0003  
PATENT

The above information is presented so that the United States Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. See 37 C.F.R. §§ 1.104(a) and 1.106(b) regarding the PTO's duty to consider and use any such information. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Date: 7/14/05  
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Respectfully Submitted,  
  
By: \_\_\_\_\_  
George T. Marcou  
Reg. No. 33,014



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number	10/813,521
Filing Date	March 29, 2004
First Named Inventor	Thomas K. MELLINA
Art Unit	3624
Examiner Name	not yet assigned
Attorney Docket Number	SSB0003

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-6,393,409	05-21-2005	Young et al.	
		US- 4,903,201	02-20-1990	Wagner	
		US- 6,016,483	01-18-2000	Rickard et al.	
		US- 6,061,662	05-09-2000	Makivic	
		US- 6,343,277	01-29-2002	Gaus et al.	
		US- 5,884,286	03-16-1999	Daughtery, III	
		US- 6,263,321	07-17-2001	Daughtery, III	
		US- 5,950,176	09-07-1999	Keiser et al.	
		US- 4,674,044	06-16-1987	Kalmus et al.	
		US- 5,727,165	03-10-1998	Ordish et al.	
		US- 5,905,974	05-18-1999	Fraser et al.	
		US- 5,692,233	11-25-1997	Garman	
		US- 6,112,189	08-29-2000	Rickard et al.	
		US- 5,508,913	04-16-1996	Yamamoto et al.	
		US- 5,563,783	10-08-1996	Stolfo et al.	
		US- 6,014,643	01-11-2000	Minton	
		US- 6,247,000	06-12-2001	Hawkins et al.	
		US- 6,233,566	05-15-2001	Levine et al.	
		US- 6,148,293	11-14-2000	King	
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		WO 90/10910	09-20-1990	Chicago Board of Trade		
		WO 97/08640	03-06-1997	EBS Dealing Resources, Inc.		
		WO 01/80131	10-25-2001	Superderivative s, Inc.		
		WO 01/84450	11-08-2001	American International Group, Inc.		
		EP 0 434 224	06-26-1991	Reuters Ltd.		
		WO 99/19821	04-22-1999	Derivatives Net, Inc.		
		WO 01/52150	07-19-2001	Market Data Corp.		
		WO 01/61602	08-23-2001	Thomson Information Services, Inc.		
		EP 0 399 850	11-28-1990	Reuters Ltd.		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the